Start Here!

- **Headed out to Sea – Policy at GSU**
  The Players

- **Learning to Sail – The Process**
  Policy Development & Management at Georgia State

- **Navigating the Waters – Adopting Best Practices**
  Crafting Effective Policy & Understanding Policy Review

- **Becoming Naval Experts – Systems & Innovations**
  Introduction to new policy management system and resources
Institutional effectiveness is the systematic, explicit, and documented process of measuring performance against mission in all aspects of an institution.

Policy: **def**: a definite course or method of action selected from among alternatives and in light of given conditions to guide and determine present and future decisions (Merriam-Webster)

Policies guide the way so we stay on course.

A commitment to continuous improvement is at the heart of an ongoing planning and evaluation process.
Georgia State University ("University") strives to have institution-wide policies that are consistent, concise, clear, and readily accessible to the University community. To that end, the University formally approves, revises, and posts university-wide policies.

All University-wide policies must be approved, as applicable, by either the University Senate (Academic and student policies) or the Administrative Council (Administrative Policies) prior to final approval by the President, as set forth in the University Statutes (Article IV, Section 2; Article VI, Sections 2 and 5; and Article XIII, Section 3).

Prior to any review and approval of University-wide policies by the Administrative Council, (1) the Policy Advisory Group ("PAG") shall first review and recommend approval of such policies by the Administrative Council and (2) in keeping with the University Statutes, where proposed University-wide policies affect staff, the PAG shall ensure the Staff Council has the opportunity to review and make recommendations on all such University-wide policies (Article VII, Section 2).

This policy proposes a strategy for effective policy management of such university-wide policies that utilizes a systematic policy review process. The PAG is responsible for assuring effective policy review and management. In serving such role, the PAG will, when appropriate, and upon consultation with relevant colleges and/or business units, evaluate or comment upon the substantive content of any proposed University-wide policy. The members of the PAG shall be appointed annually by the Provost. The PAG shall be co-chaired by representatives from the Office of Institutional Effectiveness and the Office of Legal Affairs, unless otherwise designated by the Provost.

In its review of new and updated policies, the PAG may invite member(s) of the Responsible Office(s) and other university officials and/or subject matter experts who may be required to carry out the policy or whose expertise may aid in the formulation of the policy. Policies will typically be reviewed and, if necessary, amended, at least one (1) month prior to being submitted for approval to the Administrative Council.
Steering Policy
In The Right Direction

• Policy Advisory Group (PAG)
  A University committee led by the Office of Legal Affairs and Office of Institutional Effectiveness, charged with advisory oversight of the administrative policy process.

• Policy Administrator
  – Supports the policy committees/policy owners
  – Disseminates timely information re: policies
  – Maintains the policy web site and archives
  – Monitors review schedule
  – Assesses framework effectiveness

• Policy Steward
  Subject matter experts in a particular functional area who are responsible for assisting with the substantive content for policies impacting their area. Stewards will also assist in identifying overlaps with other policies or conflicts with federal, state and Board of Regents regulations.

• Policy Owner
  – Prepares policy plan
  – Develops and administer policies
  – Performs scheduled reviews and assessments
  – Consults with target audience representatives during the development phase
Create a sustainable framework to develop and maintain up-to-date University policies that:

Meet legal and regulatory requirements

Reduce risk

Support compliance

Promote ethical behavior, and

Are simple and straightforward!
Policy Review Guidelines

- Does the policy accurately state the current practices?
- Are terms in the policy adequately defined? Is it clearly stated that the policy replaces all previous policies?
- Is your use of terminology consistent across policies if they are related?
- If two policies are interrelated, is it clear when each policy will apply?
- Is it clear to whom the policy applies?
- Check related policies to ensure your policy is not in conflict with another university policy.
- Has the law in this area changed? Check with legal affairs.
- Internal administrative procedures should generally not be part of the policy document. Consider pulling out the procedures and placing them in separate document that can be linked to from the policy.
- Check contact information, job titles, emails, and web links to ensure they are current.
- Highlight text so that proposed changes are apparent.
- If a policy is no longer relevant, suggest elimination of the policy, stating reasons why the policy is no longer relevant.
- Discuss major changes to your policy with the policy steward and other stakeholders prior to proposing major changes.
GSU Policy Lifecycle

**Identify Issues**

Policy issues arise based on changes in law, risk assessment, or operational needs.

Who initiates?
- Policy steward
- University Senate
- Staff Council
- Legal
- University-wide committees (standing and ad-hoc)
- Stakeholders

**Conduct Analysis**

- Is a policy needed or will procedures suffice?
- Review of peer policies and procedures
- Consult with GSU stakeholders
- Seek guidance from Legal subject matter expert

**Draft Language**

Policy steward creates a draft of policy utilizing the OIE template
Policy steward works closely with Legal and other stakeholders
Review Criteria
- Agreed upon by approval committee
Benefits
- Ensures consistency
- Ability to address possible issues early in process

**Submit to Policy Advisory Group (PAG)**

Submit draft to PAG for review
PAG reviews and provides feedback to policy steward
PAG advises on final language and determines whether the draft policy should be submitted to Administrative Council

**Request for consideration by Administrative Council**

- PAG submits to Admin Council
- 1st meeting: Policy steward presents the policy and answers questions. Discussion.
- Between meetings, the policy steward incorporates any feedback from Admin Council members
- 2nd meeting: Policy steward presents the policy for approval

**Publish and Distribute**

- Determine/distribute/educate
- Assist with policy communication
- Publish the policy
- Maintain the website
- Serve in a review capacity for any training (if needed)
GSU Policy Ecosystem
A work in progress!

Deans and VPs of Business Units
policy and risk-owners, data stewards, compliance managers

Policy Development and Review

Manage Risk and Compliance; Provide Training and Procedures

Policy Advisory Group

Specialized Enterprise Support
- Legal
- Student Success
- HR
- II&T
- Fin & Admin
- OIE

Multidisciplinary
- DAGS
- ERM
- Cyber GRC

Policy Governance
University Senate Academic and Student Policies
Administrative Council Administrative Policies
Staff Council Proposed Policies Impacting Staff

Policy Library

1st line of defense
Compliance / Risk management functions within each department

2nd line of defense
Support, documentation, tracking and coordination of policy and risk management; maturing assurance functions

3rd line of defense
Independent Audit

USG
University Auditing and Advisory Services

Hot-Line

USG

3rd line of defense
Independent Audit
Policy Process In Action

Case Examples

- GSU Credit Card Policy
- Security Camera Policy
Policy and ERM in Practice: GSU Credit Card Policy (PCI-DSS)

**Laws**
- Federal and state laws or regulations
- Board of Regents Requirements
- Industry Operating Standards

**BOR**

**Policy**
- Requirements for processing credit cards
- Establish scope and stewardship
- High-level process information for employees

**Procedures**

**Steward Team (GSU PCI Team)** create procedures and training for campus merchants to enable compliance with PCI-DSS

**Risk of non-compliance identified**
**Payment Card Industry Data Security Standards (PCI-DSS)**

**Stakeholders convened**
**GSU PCI-DSS Compliance Policy**

**Compliance Plan**
**Credit Card Processing Procedures**
Disparate and disconnected video surveillance systems with no overarching governance structure to determine responsibilities for assessment, procurement, installation and maintenance.

An ad-hoc University committee of stakeholders convened to outline current state, research best practices, develop governance model, and identify personnel and financial resource needs.

Policy Steward identified (GSUPD)
Policy passed by Administrative Council
Staying on Course

- New Policies
- Trends
- PolicyStat
- A developing community of awareness
- Q&A
Thank You!

Policy Library link: https://www.gsu.edu/university-policies/

For policy related questions, email mmclauglin@gsu.edu